

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Documents related to WIPP/LL/LLM Controlled Document and Revisions, Document History File (DHF)	In-Process WIPP/LL/LLM Quality Assurance Record	Document Control maintains current document/revision and DHF in one-hour fire rated cabinets until revised	Continue prescribed processing of document(s) Once revised, transmit previous revision and DHF to NQA-1 Waste Records, per 1-PRO-077-WIPP-005, within six months
Documents related to WIPP/LL/LLM Controlled Document and Revisions, Document History File (DHF)	WIPP/LL/LLM Quality Assurance Record	While active, Document Control maintains current controlled document and DHF in one-hour fire rated cabinets	Within 6 months after document is superseded or cancelled, Document Control transmits controlled document and DHF to NQA-1 Waste Records Center, per 1-PRO-077-WIPP-005
Documents <u>not</u> related to WIPP/LL/LLM Controlled Document and Revisions, Document History File (DHF)	In-process Quality Assurance Record	Document Control maintains current document/revision and DHF in one-hour fire rated cabinets until revised	Continue prescribed processing of document(s) Once revised, transmit previous revision and DHF to RMRS Records Center in accordance with RM-06 02, Records Identification, Generation and Transmittal
Documents <u>not</u> related to WIPP/LL/LLM Controlled Document and Revisions, Document History File (DHF)	Quality Assurance Record	Document Control maintains current controlled document and DHF in one-hour fire cabinets Within 90 days after document is superseded or cancelled, Document Control transmits controlled document, revisions and DHF to RMRS Records Center, in accordance with RM-06 02, Records Identification, Generation and Transmittal	Within one year of the date of cancellation, the RMRS Records Center retrieves all files related to the document and transmits the record package to Site Records Management in accordance with 1-V41-RM-001

APPENDIX 1
CONTROLLED DOCUMENT TYPE LIST

Following is a list of documents to be controlled by the RMRS Document Control staff. These documents include but are not limited to:

- Categorical Exclusions
- Closure Plans
- Contractor Plans
- D&D Plans and Final Reports
- Data Management Plans
- Decision Documents
- Feasibility Study
- Field Sampling Plan
- Geologic Characterization Plans
- Geotechnical Procedures
- Groundwater Monitoring Plans
- Guidance Documents
- Hazardous Substance List (at management discretion)
- Health and Safety Plans
- Health Effects Assessment Summary Tables
- Instruction
- Log Books
- Management Directive
- Management Plan
- Manual
- Monitoring, Analysis, and Testing Plans
- Operating and Maintenance Manuals
- OU Work Plan
- Policy
- Procedure
- Procurement Requirements
- Project Management Plans
- Quality Program Plan
- Quality Assurance Program Description
- RCRA Facility Investigation Work Plan
- RCRA Feasibility Study
- Remedial Investigation Report
- Remedial Investigation/Feasibility Study
- Safety Plan
- Sampling and Analysis Plans
- Technical Reports
- Test Plans
- Training Implementation Manual
- Training Manual
- Training Implementation Plans
- Well Abandonment Plans
- Work Plan and support documents (as appropriate)

APPENDIX 2

RMRS CONTROLLED DOCUMENT CHECKLIST

This checklist is intended to expedite the process for controlling internal RMRS documents. For documents containing Site-level requirements, or used by organizations other than RMRS or its subcontractors, users refer to the RFETS Site Documents Requirements Manual (SDRM) for instructions.

Responsible Manager _____
 _____ Print _____ Signature _____ Date _____
 Organization/Program _____
 Writer/Originator _____
 _____ Print _____ Signature _____ Date _____
 Phone _____ Pager _____ Building _____
 Quality Assurance Reviewer _____
 _____ Print _____ Signature _____ Date _____

Document Type (✓ one) ☐ Policy ☐ Management Directive ☐ Manual ☐ Procedure ☐ Instruction
☐ Technical Standard ☐ Other (if other, specify type) _____

☐ New Document (Revision 0)

Document Number (Obtain from Document Control, X5430)

Title _____

☐ Total Revision Existing Document Number _____
 Title _____
☐ Obtain electronic copy from Document Control, X5430
☐ New Revision No _____
 (Obtain from Document Control, X5430)

Periodic Review (Check One)
 (For new or revised procedures)

☐ 1 yr - Emergency Preparedness Procedure
☐ 3 yrs - Potentially affects system Category
 1, 2, or 3 function
☐ 4 yrs - All other documents
☐ Inactive procedure is reactivated

☐ Page Change Existing Document Number _____
 Title _____
☐ Obtain electronic copy from Document Control, X5430
☐ Change bar and effective date noted in margin

☐ Classification Review Obtained
☐ Classification Review not applicable

Pages Affected _____

DOCUMENT HISTORY FILE (DHF)

☐ Draft of document or changes

☐ Review Comment Sheets distributed to reviewers (Include list of reviewers in DHF)

☐ Comments resolved and endorsement received (Include memo in DHF if all comment sheets are not returned)
☐ Original Review and Comment Sheets with signatures submitted for DHF Redlined comments must identify reviewer

☐ Safety Determinations (Documentation required for technical documents, i.e., manuals, standards & procedures)

Prescreen / SES / USQD Number _____

☐ Excluded (Procedure Categorical Exclusion From SES
 Review Process form required)

Independent Safety Review Meeting Date _____

☐ Excluded (Procedure/Document Requiring Independent
 Safety Review form Required)

☐ Documentation of Verification & Validation (for technical procedures) ☐ Not Applicable

☐ Document Approval & Effective Date Obtained (approval cover sheet or other approval documentation, and designation of
 responsibility letter, if appropriate)

☐ IWCP, JHA (for technical procedures) ☐ Not Applicable

☐ Controlled Distribution List prepared, verified, or updated by responsible manager

☐ Transmit master document, electronic copy, and DHF to RMRS DC

Effective Date (Effective date may not precede issue date Allow time for training & distribution by RMRS DC)

Received by RMRS Document Control _____

Date Issued _____

Sign

Date

5/15/99

7 REFERENCES

- 7 1 DOE Order 5700 6C, Quality Assurance
- 7 2 10 CFR 830 120, Quality Assurance Requirements
- 7 3 RMRS-QAPD-001 RMRS Quality Assurance Program Description
- 7 4 1-MAN-001-SDRM, RFETS Site Documents Requirements Manual
- 7 5 RMRS QA-05 01, Preparation and Control of RMRS Documents
- 7 6 1-V41-RM-001, Records Management Guidance for Records Sources
- 7 7 MAN-063-DC, RFETS Document Control Program Manual
- 7 8 Kaiser-Hill Directive CAHW-001-96, Release of Information and Documents